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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 4644**  
Tokuo NAKATANI et al. : Attorney Docket No. 2001\_1041  
Serial No. 09/910,910 : Group Art Unit 2616  
Filed July 24, 2001 : Examiner Vincent F. Boccio  
: **Mail Stop: Issue Fee**  
OPTICAL DISC RECORDING APPARATUS,  
COMPUTER-READABLE RECORDING  
MEDIUM RECORDING A FILE  
MANAGEMENT PROGRAM, AND  
OPTICAL DISC

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**REQUEST FOR INITIALED PTO-1449 FORM**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants note that the Examiner has not returned the Form PTO-1449 (2 sheets) submitted with the Information Disclosure Statement filed on July 24, 2001. Applicants respectfully request the Examiner to confirm that the references listed on the PTO-1449 form have been considered by providing Applicants with an initialed and signed copy of the form.

For the Examiner's reference, Applicants are enclosing a copy of the above mentioned Information Disclosure Statement, a copy of the corresponding PTO-1449 form, and a copy of the European Search Report submitted therewith. Applicants are also enclosing the stamped postcard from the PTO indicating that the above-noted Information Disclosure Statement, PTO-1449 Form and European Search Report were received on July 24, 2001.

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

In view of the foregoing, Applicants kindly request that the Examiner consider the references listed on the PTO-1449 form and return the initialed and signed form to Applicants.

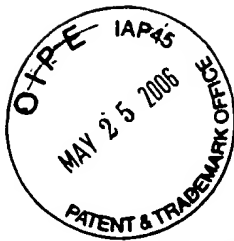
If the Examiner has any questions regarding this matter, the Examiner is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,

Tokuo NAKATANI et al.

By: Kenneth W. Fields  
Kenneth W. Fields  
Registration No. 52,430  
Attorney for Applicants

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Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
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May 25, 2006



COPY

THE COMMISSIONER IS AUTHORIZED  
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FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Tokuo NAKATANI et al. :  
Serial No. NEW : **Attn: Application Branch**  
Filed July 24, 2001 : **Attorney Docket No. 2001\_1041**  
OPTICAL DISC RECORDING APPARATUS, :  
COMPUTER-READABLE RECORDING :  
MEDIUM RECORDING A FILE :  
MANAGEMENT PROGRAM, AND :  
OPTICAL DISC :  
(Rule 1.53(b) Divisional  
of Serial No. 09/692,831,  
Filed October 20, 2000)

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of [X] the references listed on attached form PTO-1449 and/or [] the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/692,831.

1a. [X] This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

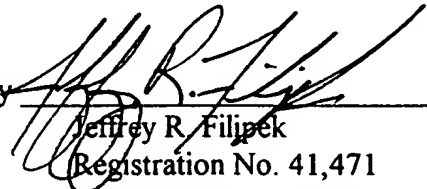
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Tokuo NAKATANI et al.

By

  
Jeffrey R. Filipek  
Registration No. 41,471  
Attorney for Applicants

JRF/fs  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
July 24, 2001

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: July 24, 2001

ATTY DOCKET NO.  
2001-1041SERIAL NO.  
NEW

COPY

APPLICANT  
Tokuo NAKATANI et al.FILING DATE  
July 24, 2001

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,778,142	7-7-98	Taira et al.			
	AB	5,761,373	6-2-98	Yamamoto			
	AC	5,757,421	5-26-98	Kato et al.			
	AD	5,675,379	10-7-97	Kato et al.			
	AE	5,675,383	10-7-97	Yagasaki et al.			
	AF	5,537,217	7-16-96	Kajita et al.			
	AG	5,386,402	1-31-95	Iwata			
	AH	5,053,898	10-1-91	Hashimoto et al.			
	AI	4,862,439	8-29-89	Ando et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	0903738A2	3-24-99	EP				
	AK	98/14938	4-9-98	WO			ABSTRACT	
	AL	0866456A1	9-23-98	EP				
	AM	2759471	8-14-98	FR				X
	AN	0653758A2	5-17-95	EP				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: July 24, 2001

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APPLICANT  
Tokuo NAKATANI et al.FILING DATE  
July 24, 2001

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,719,983	2-17-98	Henderson et al.			
	AB	5,038,217	8-6-91	Hayashi et al.			
	AC	5,434,991	7-18-95	Maeda et al.			
	AD	5,107,481	4-21-92	Miki et al.			
	AE	6,118,924	9-00	Nakatani et al.			
	AF	6,148,140	11-00	Okada et al.			
	AG	6,181,870	1-01	Okada et al.			
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	0676761A1	10-11-95	EP				
	AK	63104284	5-9-88	JP			ABSTRACT	
	AL	97/13366	4-10-97	WO			ABSTRACT	
	AM	0709843	5-1-96	EP			X	
	AN	0655740	5-31-95	EP			X	

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	"Hard Disk Cache Alterations for Digital Versatile/Video Disks", IBM Technical Disclosure Bulletin, March 1997, vol. 40, no. 3, pages 165-166
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

COPY

ATTY DOCKET #: 2001\_1041

Due Date:

OUR REF: 2001\_1041/JRF/00703  
Applicant: Tokuo NAKATANI et al.  
Serial No.: NEW Filing Date: July 24, 2001  
Title: OPTICAL DISC RECORDING APPARATUS, COMPUTER-READABLE RECORDING  
MEDIUM RECORDING A FILE MANAGEMENT PROGRAM, AND OPTICAL DISC

Receipt of the following papers is acknowledged:

1. Utility Patent Application Transmittal (Rule 53(b) divisional of USSN 09/692,831, filed October 20, 2000
2. Patent Office Fee Transmittal Form [in duplicate]
3. Specification comprising 101 pages (including claims 1-10 and abstract)
4. 42 sheets of drawings (A4P, Figs. 1-42)
5. Copy of executed Declaration and Power of Attorney from parent application
6. Information Disclosure Statement and Form PTO 1449 and European Search Report
7. Preliminary Amendment
8. Claim of Priority Under 35 USC 119
9. Check in the amount of \$870.00

Date: July 24, 2001

Attorney: JRF/fs

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09/910910



Check No. 45632

